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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/077,591	02/15/2002	James Larkins	DEKA:299US	1557

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EXAMINER

FOX, DAVID T

ART UNIT	PAPER NUMBER
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1638

DATE MAILED: 01/30/2003

5

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/077,591

Applicant(s)

Larkins

Examiner

FOX

Group Art Unit

1638

—The MAILING DATE of this communication appears on the cover sheet beneath the correspondence address—

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE -3- MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, such period shall, by default, expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

Status

- ☐ Responsive to communication(s) filed on _____.
- ☐ This action is **FINAL**.
- ☐ Since this application is in condition for allowance except for formal matters, **prosecution as to the merits is closed** in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 1 1; 453 O.G. 213.

Disposition of Claims

- ☒ Claim(s) 1-31 is/are pending in the application.
- ☐ Of the above claim(s) _____ is/are withdrawn from consideration.
- ☐ Claim(s) _____ is/are allowed.
- ☒ Claim(s) 1-31 is/are rejected.
- ☐ Claim(s) _____ is/are objected to.
- ☐ Claim(s) _____ are subject to restriction or election requirement.

Application Papers

- ☐ See the attached Notice of Draftsperson's Patent Drawing Review, PTO-948.
- ☐ The proposed drawing correction, filed on _____ is ☐ approved ☐ disapproved.
- ☐ The drawing(s) filed on _____ is/are objected to by the Examiner.
- ☐ The specification is objected to by the Examiner.
- ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119 (a)-(d)

- ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
 - ☐ All ☐ Some* ☐ None of the CERTIFIED copies of the priority documents have been received.
 - ☐ received in Application No. (Series Code/Serial Number) _____.
 - ☐ received in this national stage application from the International Bureau (PCT Rule 1 7.2(a)).

*Certified copies not received: _____

Attachment(s)

- ☒ Information Disclosure Statement(s), PTO-1449, Paper No(s). 4
- ☒ Notice of Reference(s) Cited, PTO-892
- ☐ Notice of Draftsperson's Patent Drawing Review, PTO-948
- ☐ Interview Summary, PTO-413
- ☐ Notice of Informal Patent Application, PTO-152
- ☐ Other _____

Office Action Summary

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The Art Unit location of your application in the USPTO has changed. To aid in correlating any papers for this application, all further correspondence regarding this application should be directed to Art Unit 1638

The specification at pages 5, 10 and 29; and claims 1-2, 5, 14-15, 17, 20-22 and 31; are objected to for their inclusion of blanks (____). It is assumed that the blanks will be replaced with the deposit accession number.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 16 and 27-30 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 16 is indefinite in its recitation of "corn plant of claim 15, further comprising...conferring male sterility". It is confusing to now characterize the corn plant of claim 15, which is male fertile, as male sterile.

Claims 27-30 are indefinite in their recitation of "corn plant of claim 5...comprising a single locus conversion". It is confusing to now characterize the corn plant of claim 5, which has a finite genetic complement and set of traits, as additionally comprising other genes and exhibiting other traits.

The following is a quotation of the first paragraph of 35 U.S.C. 112:

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The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 16 and 24-31 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

The claims are broadly drawn to any transgenic plant which contains any heterologous coding sequence conferring any trait (claims 27-30). The claims are also broadly drawn to any "single gene conversion" plant comprising one or more traits introgressed into the claimed variety by backcrossing or other traditional means (claims 16, 27 and 29-30). The claims are also broadly drawn to any F1 hybrid produced by crossing the exemplified inbred line with any of a multitude of non-exemplified inbreds, or any descendant of the exemplified cultivar obtained by using that cultivar as one parent in a series of undisclosed crosses for an undisclosed number of generations and with undisclosed breeding partners (claims 24-26). The claims are also broadly drawn to methods of using the descendant plants or hybrid plants (claim 31).

No guidance has been provided for the description or characterization of a multitude of heterologous coding sequences conferring a multitude of traits. In addition, no guidance has been provided for the introgression of any trait from a multitude of non-disclosed and uncharacterized parentals into the claimed variety, wherein said introgression should result in successful expression of the desired trait but should not interfere with the expression of the remaining traits

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whose combination confers patentability to the instantly exemplified variety, and which introgression should not introduce unwanted linked genetic material into the exemplified cultivar which would disrupt its patentably unique genetic complement. In addition, no guidance has been provided regarding the genetic or morphological characteristics of any of a multitude of breeding partners, or the resultant progeny.

The Federal Circuit has recently clarified the application of the written description requirement. The court stated that a written description of an invention "requires a precise definition, such as by structure, formula, [or] chemical name, of the claimed subject matter sufficient to distinguish it from other materials." *University of California v. Eli Lilly and Co.*, 119 F.3d 1559, 1568; 43 USPQ2d 1398, 1406 (Fed. Cir. 1997). The court also concluded that "naming a type of material generally known to exist, in the absence of knowledge as to what that material consists of, is not a description of that material." *Id.* Further, the court held that to adequately describe a claimed genus, Patent Owner must describe a representative number of the species of the claimed genus, and that one of skill in the art should be able to "visualize or recognize the identity of the members of the genus." *Id.*

Given the claim breadth and lack of guidance as discussed above, the specification fails to provide an adequate written description of the genus as broadly claimed. Given the lack of written description of the claimed products, any method of using them would also be inadequately described. Accordingly, one skilled in the art would not have recognized Applicants to have been in possession of the claimed invention at the time of filing. See Written Description Requirement

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guidelines published in Federal Register/ Vol. 66, No. 4/ Friday January 5, 2001/ Notices: pp. 1099-1111).

Claims 16 and 24-31 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

The claims are broadly drawn to any transgenic plant which contains any heterologous coding sequence conferring any trait (claims 27-30). The claims are also broadly drawn to any "single gene conversion" plant comprising one or more traits introgressed into the claimed variety by backcrossing or other traditional means (claims 16, 27 and 29-30). The claims are also broadly drawn to any F1 hybrid produced by crossing the exemplified inbred line with any of a multitude of non-exemplified inbreds, or any descendant of the exemplified cultivar obtained by using that cultivar as one parent in a series of undisclosed crosses for an undisclosed number of generations and with undisclosed breeding partners (claims 24-26). The claims are also broadly drawn to methods of using the descendant plants or hybrid plants (claim 31).

No guidance has been provided for the description or characterization of a multitude of heterologous coding sequences conferring a multitude of traits. In addition, no guidance has been provided for the introgression of any trait from a multitude of non-disclosed and uncharacterized parentals into the claimed variety, wherein said introgression should result in successful expression of the desired trait but should not interfere with the expression of the remaining traits

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whose combination confers patentability to the instantly exemplified variety, and which introgression should not introduce unwanted linked genetic material into the exemplified cultivar which would disrupt its patentably unique genetic complement. In addition, no guidance has been provided regarding the genetic or morphological characteristics of any of a multitude of breeding partners, or the resultant progeny.

Hunsperger et al (1996, U.S. Patent 5,523,520), Kraft et al (2000, Theor. Appl. Genet. 101:323-326), and Eshed et al (1996, Genetics 143:1807-1817) teach that it is unpredictable whether the gene or genes responsible for conferring a phenotype in one plant genotypic background may be introgressed into the genetic background of a different plant, to confer a desired phenotype in said different plant. Hunsperger et al teach that the introgression of a gene in one genetic background in any plant of the same species, as performed by sexual hybridization, is unpredictable in producing a single gene conversion plant with a desired trait (see, e.g., column 3, lines 26-46). In particular, Hunsperger et al teach that a gene conferring miniature plant stature which has been identified and genetically stabilized in one cultivar of *Petunia hybrida*, a member of the Solanaceae, does not confer a miniature phenotype when introgressed into the genome of a variety of other *Petunia hybrida* cultivars (see, e.g., column 3, lines 40-41).

Kraft et al teach that linkage disequilibrium effects and linkage drag prevent the making of plants comprising a single gene conversion, and that such effects are unpredictably genotype-specific and loci-dependent in nature (see, e.g., page 323). Kraft et al teach that linkage disequilibrium is created in breeding materials when several lines become fixed for a given set of

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alleles at a number of different loci, and that very little is typically known about the plant breeding materials, which contributes to the unpredictability of the effect. Eshed et al teach that in plants, epistatic genetic interactions from the various genetic components comprising contributions from different genomes may affect quantitative traits in a genetically complex and less than additive fashion (see, e.g., page 1815).

Given the claim breadth, unpredictability, and lack of guidance as discussed above, undue experimentation would have been required by one skilled in the art to develop a multitude of non-exemplified F1 progeny or their descendants, wherein the second parent was any undefined plant; or to evaluate the ability of these products to be used in a maize breeding program to generate useful maize breeding lines. Undue experimentation would have also been required to develop and evaluate a multitude of introgressions which do not interfere with the other agronomically beneficial traits of the exemplified inbred, or to isolate and utilize a multitude of non-exemplified transgenes to confer a multitude of non-exemplified traits to the exemplified or non-exemplified plants.

The following amendments would obviate these rejections:

Cancel claims 16 and 24-31 and replace them with the new claims outlined below (support can be found on page 31 of the specification, line 12 through page 32, line 2; page 33, line 6 through page 34, line 28).

--Claim 32. A method of producing an herbicide resistant corn plant comprising transforming the corn plant of claim 5 with a transgene that confers herbicide resistance.

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Claim 33. An herbicide resistant corn plant produced by the method of claim 32.

Claim 34. A method of producing an insect resistant corn plant comprising transforming the corn plant of claim 5 with a transgene that confers insect resistance.

Claim 35. An insect resistant corn plant produced by the method of claim 34.

Claim 36. The corn plant of claim 35, wherein the transgene comprises a transgene encoding a *Bacillus thuringiensis* endotoxin.

Claim 37. A method of producing a disease resistant corn plant comprising transforming the corn plant of claim 5 with a transgene that confers disease resistance.

Claim 38. A disease resistant corn plant produced by the method of claim 37.

Claim 39. A method of producing a male sterile corn plant comprising transforming the corn plant of claim 5 with a transgene that confers male sterility.

Claim 40. A male sterile corn plant produced by the method of claim 39.--

Claims 1-31 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

The invention appears to employ novel plants. Since the plant is essential to the claimed invention it must be obtainable by a repeatable method set forth in the specification or otherwise be readily available to the public. If the plant is not so obtainable or available, the requirements of 35 USC 112 may be satisfied by a deposit of the plant. A deposit of 2500 seeds of each of the

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claimed embodiments is considered sufficient to ensure public availability. The specification does not disclose a repeatable process to obtain the plant and it is not apparent if the plant is readily available to the public. It is noted that applicants intend to deposit the plant but there is no indication in the specification on page 29 as to public availability. If the deposit is made under the terms of the Budapest Treaty, then an affidavit or declaration by applicants, or a statement by an attorney of record over his or her signature and registration number, stating that the specific strain has been deposited under the Budapest Treaty and that the strain will be irrevocably and without restriction or condition released to the public upon the issuance of a patent, would satisfy the deposit requirement made herein.

If the deposit has not been made under the Budapest Treaty, then in order to certify that the deposit meets the criteria set forth in 37 C.F.R. 1.801-1.809, applicants may provide assurance of compliance by an affidavit or declaration, or by a statement by an attorney of record over his or her signature and registration number, showing that

- (a) during the pendency of this application, access to the invention will be afforded to the Commissioner upon request;
- (b) all restrictions upon availability to the public will be irrevocably removed upon granting of the patent;
- (c) the deposit will be maintained in a public depository for a period of 30 years or 5 years after the last request or for the effective life of the patent, whichever is longer;

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(d) a test of the viability of the biological material at the time of deposit (see 37 CFR 1.807); and,

(e) the deposit will be replaced if it should ever become inviable.

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim 31 is rejected under 35 U.S.C. 102(b) as anticipated by or, in the alternative, under 35 U.S.C. 103(a) as obvious over Cummings et al (U.S. Patent 5,977,455).

The claim is broadly drawn to a multitude of progeny plants derived by crossing the exemplified corn plant with a multitude of unspecified partners, followed by multiple generations of outcrossing with multiple unspecified partners.

Cummings et al teach an inbred maize line which shares the following characteristics with the exemplified line: yellow endosperm, medium green leaves, light marginal waves, absent sheath

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anthocyanin, green-yellow anthers, green glumes, red cobs, straight rows and yellow cap (see, e.g., column 35).

The maize plant taught by the reference differs from the claimed maize plants only in its method of manufacture, namely derivation from the exemplified maize plant. However, the method of making the claimed maize plant would not distinguish it from the prior art maize plant, given the loss of genetic material from the exemplified inbred with each subsequent outcrossing and generation, and the lack of uniqueness to the exemplified maize inbred of either the level of expression of the individual traits or the genetic control thereof. See *In re Thorpe*, 227 USPQ 964, 966 (Fed. Cir. 1985), which teaches that a product-by-process claim may be properly rejectable over prior art teaching the same product produced by a different process, if the process of making the product fails to distinguish the two products.

Claims 1-30 are deemed free of the prior art, given the failure of the prior art to teach or suggest an inbred maize plant with all of the genotypic and phenotypic characteristics of the exemplified maize plant, including normal kernel type, light green silk, horizontal ears; or methods of its use.

No claim is allowed.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to David T. Fox whose telephone number is (703) 308-0280. The examiner can normally be reached on Monday through Friday from 10:30AM to 7:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Amy Nelson, can be reached on (703) 306-3218. The fax phone number for this Group is (703) 872-9306. The after final fax phone number is (703) 872-9307.

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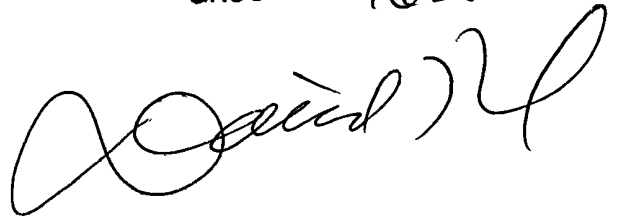
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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 308-0196.

January 26, 2003

DAVID T. FOX
PRIMARY EXAMINER
GROUP 180-1638

A handwritten signature in black ink, appearing to read "David T. Fox", written over the printed name and title.